

INTRODUCTION

INDIAN AFFAIRS

PROGRAM PLANNING AND REVIEW PROCESS

The concept of "Program Planning and Review" would appear to have considerable merit, particularly since it provides the program recipients with an opportunity to participate in the process. As we are all aware though, the gap between "apparent merit" and "actual merit" can be quite extensive. It is the intent of this brief commentary to discuss the dimensions of this gap in terms of the "Program Planning and Review Process" concept itself, and in terms of the means of implementation.

A COMMENTARY

"PROGRAM PLANNING AND REVIEW" - CONCEPTUAL LIMITATIONS

SUBMITTED TO:

L. P. FONTAINE,
REGIONAL DIRECTOR GENERAL
YUKON REGION
INDIAN AFFAIRS

If it is possible to make an assessment from just two pieces of correspondence (letters from K. D. Brown to Regional Director Generals, dated 20 October 1977, and 22 November 1977, re: Program Planning and Review Process), and two brief meetings with regional staff members, then the "Program Planning and Review" comes across as being much more of a financial management exercise than a real program review. Budget forecasts and expenditure monitoring seem to take up 90% of the time associated with the "Process". The Treasury Board would seem to be the major audience for whom the "Process" reports are intended.

BY:

YUKON NATIVE BROTHERHOOD

DATE: JANUARY 1978.

We appreciate the need for this extensive degree of financial
cc: National Indian Brotherhood

...../2

Pam: 325.454[Indians]:(*430) YNB

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INTRODUCTION

The concept of "Program Planning and Review" would appear to have considerable merit, particularly since it provides the program recipients with an opportunity to participate in the process. As we are all aware though, the gap between "apparent merit" and "actual merit" can be quite extensive. It is the intent of this brief commentary to discuss the dimensions of this gap in terms of the "Program Planning and Review Process" concept itself, and in terms of the means of implementation.

"PROGRAM PLANNING AND REVIEW" - CONCEPTUAL LIMITATIONS

If it is possible to make an accurate judgement from just two pieces of correspondence (letters from R. D. Brown to Regional Director Generals, dated 20 October 1977, and 22 November 1977, re: Program Planning and Review Process), and two brief meetings with regional staff members, then the "Program Planning and Review" comes across as being much more of a financial management exercise than a real program review. Budget forecasts and expenditure monitoring seem to take up 90% of the time associated with the "Process". The Treasury Board would seem to be the major audience for whom the "Process" reports are intended.

We appreciate the need for this extensive degree of financial

...../2

accountability, and we can appreciate how it might become a major portion of a "Program Planning and Review Process". What is difficult to understand, however, is how a totally financially oriented review and planning function can be called a Program Planning and Review Process. Except for a brief mention of establishing annual Regional goals and objectives, and some sort of annual review of goal and objective achievement, there is no indication that any program is viewed as being much more than a line item on a financial statement. In fact, given the overwhelming monetary bias of the "Process", even the goals and objectives can conceivably be identified in financial terms, and thus goal "achievement" become a simple matter of staying within a projected budget.

This is ludicrous!

Program planning begins by identifying the services, etc., that are to be provided, and then a budgetary estimate is generated for the provision of these services. We must ask where in the "Program Planning and Review Process" is there a place for Indian people to design their own programs? Certainly not at the Regional level. We are consistently told that program design is an "Ottawa function", program administration is done by the Regional offices. If this is the case, why isn't someone from Ottawa coming to Whitehorse to undertake the "Planning and Review" process? Should that happen, we might be able to accept the fact that all our Regional people are concerned about is money.

The other alternative is to turn program design into a Regional

activity. In this circumstance, "Program Planning and Review" could take on a new dimension. Given the limited staffing of the Yukon Region, the only way programs could be developed and implemented would be with extensive co-operation and participation by the Bands and the Brotherhood. Self-development, a long stated goal of Yukon Indian people, would be considerably enhanced by such a Departmental shift.

For obvious reasons, we therefore recommend that the conceptual boundaries of the "Program Planning and Review Process" be expanded to:

- 1 - consider more than financial management items; and
- 2 - offer Indian people of each region an opportunity to develop their own programs through a shift in program design responsibility to the Regional Offices of Indian Affairs.

"PROGRAM PLANNING AND REVIEW PROCESS"-----IMPLEMENTATION

Successful implementation of any program or process depends largely on two factors: initial design, and means of implementation. For the moment, let us assume that the initial design of programs is satisfactory because the Indian people have a chance to do much of the design work themselves at the Regional level, as has been recommended above. This leaves the means of implementation as the primary concern, and based upon previous Regional examples of "Indian participation" methodologies, it is also a very major concern.

The notion that participation in a program should be limited to

some early discussions with program recipients, followed by periodic up-dating is more than out-dated. It is demeaning, paternalistic, and totally unsatisfactory. Yet, to a large degree this is the methodology which has been practiced in the Yukon Region. "Program Planning and Review" cannot be carried out in this manner if the people are to have more than a token say in what goes on. The new administration in the Yukon Region seems to have an appreciation of this, but there is still much work to be done to alter the established precedent.

A successfully implemented "Program Planning and Review Process" will allow for several types of Indian participation:

- 1 - At the point of program goal setting, representatives from the Bands and the Brotherhood will join with Regional staff to formulate program goals and objectives;
- 2 - Following the establishment of program goals the Brotherhood and Regional staff will lay out a general program design, program details and additions will be left to each Band. Actual program delivery will be combined Band/Regional staff responsibility.
- 3 - Periodically Band and Brotherhood representatives should meet with the Regional staff to discuss the programs activities and the financial situation.
- 4 - Annually, a complete program review should be performed by the three parties. This review should look at goal achievement, financial statements, and should make projections for the coming year. These projections should be both budgetary and program activity related.

Extensive participation such as is suggested here will enable the Indian people of the Yukon to gain a measure of real responsibility for their future. It will also prepare them for the day when Land Claims are settled and all Indian people have a greater responsibility for their own development - as individuals, as communities, and as a united people within Canada.

CONCLUSION

Improvements in any process are usually desirable and feasible, the "Program Planning and Review Process" is no exception. The concept is very worthwhile, but the reality of the process as it is presently implemented leaves substantial room for modification. We have suggested six ways of improving the "Program Planning and Review Process" in the Yukon Region. We hope that they will be considered at both the Regional and National levels of Indian Affairs.

Indian & Eskimo Affairs,
Room 305, Federal Building,
Whitehorse, Y.T. Y1A 2B5

January 10, 1978

801/1-1

Mr. Willie Joe,
President,
Yukon Native Brotherhood,
22 Nisutlin Drive,
Whitehorse, Y.T.
Y1A 3S5

Dear Mr. Joe:

RE: Joint D.I.A./Y.N.B. Planning Process

With reference to our letter of January 4th and subsequent telephone conversation of January 10th regarding the above mentioned subject, Messrs. L.P. Fontaine and R.A. Morin look forward to meeting with yourself and appointed representatives on January 23rd, 1978 at 1:00 p.m. in the Conference Room of Indian & Eskimo Affairs, Federal Building.

Yours sincerely,

Andree E. Sweeney, for
R.A. Morin,
Regional Director of Operations,
Yukon Region.

nes

cc: L.P. Fontaine

Indian & Eskimo Affairs,
Room 305, Federal Building,
Whitehorse, Y.T. Y1A 2B5

January 4, 1978

801/1-1

Mr. Willie Joe,
President,
Yukon Native Brotherhood,
22 Nisutlin Drive,
Whitehorse, Y.T.
Y1A 3S5

Dear Mr. Joe:

RE: Joint D.I.A./Y.N.B. Planning Process

During numerous conversations in the past years with your predecessor and yourself, the question of a joint D.I.A.N.D./Y.N.B. Planning Process was touched upon with interest.

The purpose of this memo is to invite the Y.N.B. to an initial meeting sometime in January or February, depending on your schedule, for the purpose of exchanging ideas and the possibility of establishing a steering committee to research and recommend a Planning Process in order to ensure Indian Band access and participation in the area of planning and evaluation.

An early reply with a tentative meeting date would be greatly appreciated.

Yours sincerely,


ORIGINAL SIGNED BY

R. A. MORIN
R.A. Morin,
Regional Director of Operations,
Yukon Region.

RAM:aes

cc: L.P. Fontaine

Program Managers,
Yukon Region.

L.P. Fontaine, 
Regional Director General,
Yukon Region.

R.A. Morin,
Regional Director of Operations,
Yukon Region.

SECURITY - CLASSIFICATION - DE SÉCURITÉ

OUR FILE - N/REFERENCE

801/1-1

YOUR FILE - V/REFERENCE

DATE

December 19, 1977

SUBJECT
OBJET

Joint D.I.A./Y.N.B. Planning Process

This memo refers to our discussion of December 16th, 1977 during the Budget Review meeting with the Yukon Native Brotherhood regarding the Y.N.B.'s interest not only in a budgetary review process, but also their interest in areas such as program design, program implementation and future regional structures.

I am in full support of this move as this matter has been discussed on numerous occasions with the Y.N.B. during the last two years at different forums.

Mr. Willie Joe and I have discussed the possibility of implementing a program planning review an' evaluation process to ensure that the Department is meeting the needs of Yukon Indians. This subject has also been discussed with the former Regional Director General, Mr. Elijah Smith, staff members of this regional office and staff members of the Y.N.B.

I would suggest that an initial meeting be convened sometime in January in order that we may exchange ideas with the Y.N.B., and that the possibility of a steering committee be set to research the matter in depth.

There is no doubt about the interest at the Band level as I have discussed this matter in the past with different Chiefs, and usually encountered positive feelings and a desire to participate in such a process.



R.A. Morin

✓ O.K.
leave proceed
Df.

PROGRAM MANAGERS,
Yukon Region

R.A. Morin,
Regional Director of Operations,
Yukon Region.

SECURITY-CLASSIFICATION - DE SÉCURITÉ
OUR FILE - N/REFERENCE
801/1-1-2
YOUR FILE - V/REFERENCE
DATE

November 3, 1977

Program Planning & Review Process

Attached for your information and action is a document that will preoccupy all of us from here on in.

I will refrain from any comments until our meeting to be held November 4th, 9 a.m. in the Conference Room, in order that we may discuss this important document in depth. Mr. Cameron will be consulted upon his return.



R.A. Morin

encl.

cc: L.P. Fontaine

Distribution: Ron Henriët
Ron MacDonald
Don Woloshyn
Alec Cameron (Marion Warren)
John Sewell
Bob Inkpen

*Absent
Alec Cameron & P. Fontaine
Marion Warren all ended.
RM*

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Assistant Deputy Minister
Indian and Northern Affairs

Sous-ministre adjoint
Affaires indiennes et du Nord
Affaires indiennes

Director General
Yukon Region
WHITEHORSE, Y.T.

Regional Directors General
Headquarters - Directors General
Director, Finance and Management
Program Personnel Adviser
Director, Public Information and
Parliamentary Returns

OTTAWA, Ontario K1A 0H4
October 20, 1977

Your file Votre référence

Our file Notre référence

RAM

Program Planning and Review Process

During the 1977 program reviews it became evident that the review process should be linked more adequately both to budget planning and to Program Objectives as well as operating goals to ensure the responsiveness of the budget to the planning and review process and the relevance of the process to the official mandate of the Program. These problems were addressed at a meeting of the National Program Review Committee, (see memo of September 12, 1977) held September 22, 1977 in Ottawa. The delegates at the meeting developed and recommended the process as outlined in this letter.

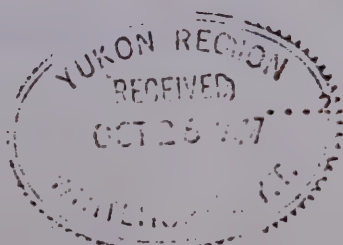
The Committee agreed that although regional variations will continue to exist and are desirable, this proposed review process would go a long way to involve bands, districts and regions more adequately in setting the goals and objectives of the Program and planning the budgets to meet these goals and objectives.

* This year it is recognized that the process will in many cases need to commence with item 5. In any event we expect to receive from all regions during November the type of report referred to in that section. We recommend that this report also be sent to the band councils of the regions.

Although the process permits regions considerable flexibility, the timing of each step is important. If the timing of the schedule of events is not adhered to, the collective impact of the recommendations has much less likelihood of being reflected in the Main Estimates of the following year or the Program Forecast for the forecast year and correspondingly in the allocation of resources.

400 Laurier Ave. West
Ottawa, Ontario
K1A 0H4

400, av. Laurier ouest
Ottawa (Ontario)
K1A 0H4



Regional Directors General are to send to me by November 30, 1977 a description of the planning and review process for their regions that relates events in the regional process to the national process.

The process policies and procedures described below outline the linkages between the operational planning, financial planning and review and evaluation processes. They have been developed in full recognition that they contain several limitations and leave several areas open to question. As you are aware, the emphasis of the second phase of the Program MIS Project is on the development of the national management framework for the Indian Program. Ideally, prior to defining the linkages between management processes, we should decide on the management approach; on what will be managed and how it will be managed. The proposed Program Management Plan will document the management approach and define relationships between the main management processes.

Meanwhile it is important that we ensure that the main management processes are as closely linked as possible, and that bands are an integral part of the processes. Such an approach will provide better accountability to both Bands and Parliament, and will permit Indian people to realize greater benefits from our Program review and evaluation efforts.

Throughout this letter, past year refers to 1976/77; current year refers to 1977/78; new year refers to 1978/79; and forecast year refers to 1979/80.

The Process

1) June 30 (Current Year) (New Activity) ✓

Each region is to prepare and send to all band councils a report of the region's accomplishment for the previous fiscal year as compared to the goals established for that year. The report should be related to the Program activity structure. It is to include an account of the dollar and man year resources available in that year as well as statistics to indicate achievement, e.g. 1,683 homes actually built as opposed to a plan to build 1,925 houses. The report should also contain a narrative to state why objectives could not be achieved or achievement could not be measured. It should also indicate trends and issues as seen by the regional management team. Band councils should be invited to respond in writing to the report. A copy of the report is to be sent to Headquarters where a national summary will be developed and circulated to members of the Executive Planning Committee.

2) August 15 (Current Year) (Existing Activity)

Regional offices are to submit to Headquarters their Main Estimates for the new fiscal year.

3) August 15 (Current Year) (Existing Activity)

Treasury Board advises the Departments of its target for the forecast year.

✓ 4) October 15 (Current Year) (New Activity)

After the bands have reviewed the report referred to in 1 above, discussions are to take place with them in order to obtain their views concerning the past year's performance. (In addition, the recommendations and formal requests of band councils are to be obtained as to the major issues and activities that should be undertaken in the new year to commence the following April and more importantly in the forecast year to commence eighteen months later.) The synthesis of the results of these discussions will enable the regions to produce their goals and objectives for the new and forecast years and guide them in the preparation of the Main Estimates and Program Forecasts based on the requirements of band councils.

5) October 31 (Current Year) (Existing Activity) ✓

Main Estimates are sent to Treasury Board. During the ensuing two months Treasury Board officials will review the Estimates with Departmental officials.

6) November 15 (Current Year) (Existing Activity)

Regions will submit to Headquarters their Program Forecasts. This Forecast will include both the A and B level budget requirements supported by complete substantiation. The A budget requirements are the current year Main Estimates augmented or diminished by known volume and price changes. The B budget requirements consist of all amounts requested to improve the quality of service, to extend the application of the program or to finance new programs. These B budget items, which are to be stated in order of priority should reflect the major issues identified during the October discussions with the band councils.

7) November 30 (Current Year) (New Activity)

Regional offices will prepare and submit to Headquarters a wrap-up of the discussions with bands referred to in 4 above. This report will include major issues identified during these discussions and a summary of the recommendations received from band councils as well as a summary of the

Main Estimates and Program Forecast submitted to Headquarters. It is recognized that each region has developed its own method of communications with band councils. One region might choose to hold a series of district and area reviews with groups of bands, whereas another region might wish to hold one regional review. Another might prefer a different method to involve band councils in the review process. The method that is actually used is to be determined by each individual region in cooperation with leaders of the Indian community.

8) December (Current Year) (Existing Activity)

During the month of December, Headquarters is to communicate with the regions to resolve any problems encountered in the regional Program Forecasts. This could involve simply the need for clarification or the need for supplementary documentation and justification.

9) December (Current Year) (New Activity)

The two ADMs and the Directors of Finance and Management will meet with the Directors General to review the forecasts for the forecast year and the estimates for the new year.

10) December (Current Year) (New Activity)

If as a result of discussions with band councils referred to in 4, changes are required to the original Forecast submitted on November 15, they may be made during this month. Regions should send details on the required changes to the Director, Finance and Management by the quickest possible means.

11) December 1 (Current Year) (New Activity)

The Assistant Deputy Minister will send to regions their budget allotments for the new year.

12) December 31 (Current Year) (New Activity)

Headquarters, in consultation with the National Program Review Committee, will collate the November 30th regional reports into one national report which will be distributed to the members of the Executive Planning Committee in preparation for the National Program Review. Where gaps are evident in the material submitted, particularly in relation to operational and management information pertaining to activities of the Program, Headquarters will work with the Regions to obtain the necessary additional information.

13) January 15 (Current Year) (Existing Activity)

Headquarters will submit the Program Forecast to the Assistant Deputy Minister, Finance and Administration Program.

14) January 31 (Current Year) (New Activity)

? During late January a National Program Review will be held in Ottawa. It is expected that all members of the Executive Planning Committee and leaders of Indian organizations would participate in this review. The review will confirm objectives and goals for the new fiscal year and agree on the resources to be committed to achieve them. It would also review the priorities as described in the Program Forecast for the forecast year and recommend adjustments that might be required to enable the Program to respond adequately to new priorities identified during the review. In other words, this review of the Program Forecast will be an overview rather than a detailed analysis of the budget. Changes to the Program Forecast, as a result of this review, may be made during February. Finally, the Program Review will discuss major issues identified during regional reviews that have national implications and agree on an action plan to address these issues.

15) February 28 (Current Year) (New Activity) ✓

Regional offices are to provide bands with their approved budgets for the new fiscal year and report on the actions planned relevant to major issues identified at regional and national reviews. Finally the regions will provide bands with the region's detailed goals and objectives for the new fiscal year which will include specific units of expected performance. A copy of the report will be sent to the members of the Executive Planning Committee.

16) March 31 (Current Year) (Existing Activity)

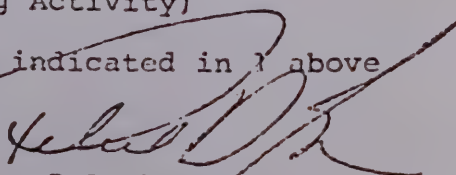
¹⁴² The Department will submit its Forecast to Treasury Board. This date is inflexible.

17) June (New Year) (Existing Activity)

Headquarters will receive from Treasury Board indication of the approved Program Targets for the forecast year. Tentative targets will then be distributed to the regions together with the call letter for Main Estimates submission.

18) June 30 (New Year) (Existing Activity)

The process begins again as indicated in 1 above



R.D. Brown
Assistant Deputy Minister -
Programs
(Indian and Eskimo Affairs).

MR. E. SMITH
REGIONAL DIRECTOR GENERAL
YUKON REGION.

Assistant Deputy Minister / Sous-ministre adjoint
Indian and Northern Affairs / Affaires indiennes et du Nord
Indian Affairs / Affaires indiennes

OTTAWA, Ontario K1A 0H4
September 12, 1977.

Directors General Headquarters
Regional Directors General
Director of Finance

Your file / Votre référence

Our file / Notre référence

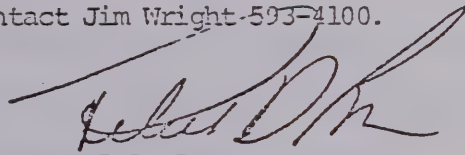
DM
Phone your
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meeting

Consultation Funds

Recently a paper on consultation funds which recommended changes in the way in which the funds are obtained, and proposed terms and conditions to govern the use of them, was discussed by the Executive Planning Committee. Where possible the suggestions noted have been incorporated in a draft circular, a copy of which is attached.

It is requested that this draft proposal be discussed with officials of regional Indian associations and their recommendations along with those of your staff be sent to headquarters. We will endeavour to include any suggestions received prior to October 1, 1977 in the circular which will be issued shortly thereafter.

For further information please contact Jim Wright-593-4100.



R.D. Brown,
Assistant Deputy Minister -
Programs.

(E.P.C.)

Regional Dir (7)
Dir. General (4)
Assist. Deputy Min. } 12 member
E.P.C.

Subject: Consultation Funds

1. General

1.1 This circular outlines the terms and conditions for the use of consultation funds. It becomes effective immediately and replaces all previous letters and directives concerning the funds.

1.2 In this circular

a) Consultation funds are those funds provided to promote consultation with Indian groups and individuals.

b) The Department is the Department of Indian Affairs and Northern Development.

1.3 Suggestions for improvements in the procedures outlined in this circular should be sent to the Assistant Deputy Minister, Indian and Eskimo Affairs or your director general. (B. Briner)

2. Use of Consultation Funds

2.1 Consultation funds are to be used

a) to enable Indian or Inuit persons to meet with Departmental officials to discuss policy or program management issues or to meet to formulate recommendations to send to the Department; and

generally to discuss policy management. To ...
- I request, and authorize, all Indian Affairs, etc.,
- I request, and authorize, all Indian Affairs, etc.,
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2. I request, and authorize, all Indian Affairs, etc.,

- b) to enable Indian and Inuit persons to participate in tripartite meetings involving Departmental officials and officials of a province or territory.

2.2 Consultation funds are not to be used for

- a) meetings of Indian and Inuit persons with non-Departmental officials
- b) training courses or workshops. Training funds are provided to enable persons to participate in training courses.
- c) boards of management of schools, student residences, economic development enterprises, etc.
(The expenses incurred by members of boards are paid from fund allocated to the board.) and
- d) meetings with representatives of a particular Band or Settlement. (Core funds are provided to cover the cost of such meetings.)

3. Dispersement of funds

3.1 Authority to commit consultation funds within budget limitations is delegated to the following officers

- a) The Assistant Deputy Minister (Programs) for headquarters
- b) The Regional Directors General for regions.
- c) The District Managers for districts.

C. J. ... 1. 12. 1983

3.2 Consultation funds are normally to be administered by the Department. If they are administered by a group or agency such as an Indian Association it is to furnish the Department with an itemized statement of receipts and expenditures at the end of the meeting and return unused funds to the Department.

even such transfer as place, DIF have guidelines contractual agreements.

3.3 Transportation expenses may be paid to Indian or Inuit participants in accordance with the rates set in travel instructions issued from time to time by the Treasury Board. ^{2 1/2}

3.4 Honoraria may be paid to Indian and Inuit participants who certify in writing that they are not in receipt of a salary from another source.

Effective July 1, 1977 the authorized honorarium is \$25.00 per day of a meeting or per day of travel where such is necessary.

3.5 Effective July 1, 1977 a per diem allowance of \$35.00 is payable to Indian and Inuit participants to cover the cost of food and lodging.

3.6 Payments for travel days are normally not required. However, where paid, they are to be based on the minimum reasonable travel time required to enable an Indian or Inuit person to participate in a meeting using the most economical and practical method of transportation available.

4. Budgetting for Consultation Funds

4.1 It is the responsibility of each regional director general and the Director, Management Co-ordination Branch at headquarters to include in their Program Forecast submission the amount of money they require for consultation purposes for the 1979-80 fiscal year ; and thereafter. '78-'79 110,500 confirmed

4.2. The Director, Management Co-ordination Branch will budget for the consultation funds required for the 1978-79 fiscal year. On April 1, 1978 money will be transferred to regions based on regional requests and the supply of funds. (Refer to cut backs by B.I.C. Treasury Bdr.)

Proposal for Recommendations
before Friday 23 Sept, '77

Date Due

✓ YKB 82			
OCT 20 '83			
Oct 84			

Pam: 325.454[Indians]:
(*430)

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YNB

Yukon Native Brotherhood.

AUTHOR

Indian Affairs Program Planning

TITLE

and Review Process: a commentary.

DATE LOANED	BORROWER'S NAME	DATE DUE
	Irina	
	KEN O'NEILL	OCT 20 '83
Oct 84	Irina Singh staff	

Pam: 325.454[Indians]:(*430)YNB

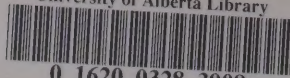
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Indian Affairs Program Planning
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